

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/420,092

Filing Date 10/18/99

First Named Inventor Ling Luo

Group Art Unit 1651

Examiner Name M. Flood

Total Number of Pages in This Submission

11

Attorney Docket Number

021044-005200US

RECEIVED

NOV 15 2002

TECH CENTER 600/2900

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/
Incomplete Application

☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a
Provisional Application

☒ Power of Attorney, Revocation
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to
Group

☐ Appeal Communication to Board of
Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)
(please identify below):

Return Postcard; Trans. Form SB/21 (1
pg.); Revocation of Power of Attorney or
Author. Agent SB/82 (1 pg.); Power of
Attorney SB/81 (1 pg.); Statement Under
37 CFR 3.73(b) (1 pg.); Exhibit to
Statement under 37 CFR 3.73(b) (7 pgs.)

Remarks

The Commissioner is authorized to charge any additional fees to
Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
and
Individual name

Townsend and Townsend and Crew LLP

Annette S. Parent

Reg. No. 42,058

Signature

Annette S. Parent

Date

November 8, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date:

November 8, 2002

Typed or printed name

Lawanna J. Baird

Signature

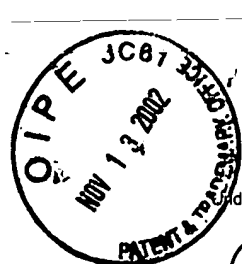
Lawanna J. Baird

Date

November 8, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1404318 v1



Please type a plus sign (+) inside this box → ☐

PTO/SB/82 (10-00)
Approved for use through 10/31/2002. OMB 0651-0035
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**REVOCATION OF POWER OF
ATTORNEY OR
AUTHORIZATION OF AGENT**

Application Number	09/420,092
Filing Date	October 18, 1999
First Named Inventor	Ying LUO
Group Art Unit	1651
Examiner Name	M. Flood
Attorney Docket Number	021044-005200US

RECEIVED

NOV 15 2002

TECH CENTER 1600/2900

I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

☒ A Power of Attorney or Authorization of Agent is submitted herewith.

OR

☐ Please change the correspondence address for the above-identified application to:

☒ Customer Number



20350

PATENT TRADEMARK

OR

☐ Firm or
Individual Name

Address

Address

City

Country

State

ZIP

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name **JAMES M. GOWER**
Chairman and CEO

Signature

Date 11/04/02

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1392528 v1



Please type a plus sign (+) inside this box →



PTO/SB/81 (02-01)
Approved for use through 10/31/2002. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

POWER OF ATTORNEY OR AUTHORIZATION OF AGENT	Application Number	09/420,092
	Filing Date	October 18, 1999
	First Named Inventor	Ying LUO
	Title	Cell Cycle Proteins Associated...
	Group Art Unit	1651
	Examiner Name	M. Flood
	Attorney Docket Number	021044-005200US

I hereby appoint:

☒ Practitioners at Customer Number

OR

☐ Practitioner(s) named below:



20350

PATENT TRADEMARK OFFICE

RECEIVED

NOV 15 2002

TECH CENTER 1600/290

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	JAMES M. GOWER Chairman and CEO
Signature	
Date	11/04/02

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
SF 1392534 v1



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Rigel Pharmaceuticals, Inc.

Application No./Patent No.: 09/420,092

Filed/Issue Date: October 18, 1999

Entitled: Cell Cycle Proteins Associated With PCNA, Compositions And Methods Of Use

Rigel Pharmaceuticals, Inc., a California corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 010607, Frames 0650-0654, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

11/04/02
Date

JAMES M. GOWER
Chairman and CEO

Typed or printed name

[Signature]
Signature

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED

NOV 15 2002

TECH CENTER 1600/2900

A-68287/RMS, DAV



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

MAY 10, 2000

PTAS

ALBRITTON & HERBERT LLP
ROBIN M. SILVA
FOUR EMBARCADERO CENTER
FLEHR HOHBACH TEST
SAN FRANCISCO CA 94111-4187



101291984

RECEIVED

NOV 15 2002

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

TECH CENTER 1600/2900

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/15/2000

REEL/FRAME: 010607/0650
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LUO, YING

DOC DATE: 02/03/2000

ASSIGNOR:

YU, PEI WEN

DOC DATE: 02/01/2000

ASSIGNOR:

HUANG, BETTY

DOC DATE: 02/03/2000

ASSIGNEE:

RIGEL PHARMACEUTICALS, INC.
240 EAST GRAND AVENUE
S. SAN FRANCISCO, CALIFORNIA 94080

SERIAL NUMBER: 09420092
PATENT NUMBER:

FILING DATE: 10/18/1999
ISSUE DATE:

*Exhibit to Statement 3.13 (b)
Not for Recordation*

010607/0650 PAGE 2

SHIRLIE SIMON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

03-17-2000

FORM PTO-1595

REC



HEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

1-31-92

101291984

To the Honorable Assistant Commissioner for Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Ying Luo; PeiWen Yu; Betty Huang

Additional name(s) of conveying party(ies) attached?

[] Yes [X] No

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date(s): February 3, 2000; February 1, 2000; February 3, 2000

2. Name and address of receiving party(ies):

Name: Rigel Pharmaceuticals, Inc.

Internal Address:

Street Address: 240 East Grand Avenue

City: S. San Francisco, California

Country U.S.A.

Zip: 94080

Additional name(s) & address(es) attached?

[] Yes [X] No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 09/420,092

B. Patent No.(s)

Additional numbers attached? [] Yes [X] No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Robin M. Silva, Esq.

Internal Address: FLEHR HOHBACH TEST
ALBRITTON & HERBERT LLP

Street Address: Suite 3400

Four Embarcadero Center

City: San Francisco

State: California Zip: 94111-4187

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number: 06-1300

Please debit any underpayment or credit any overpayment to the above deposit account.

Our Order No. A-68287/DJB/RMS/DAV

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Dolly Vance

Reg. No. 39,054

Name of Person Signing

Signature

2-9-00

Date

Total number of pages including cover sheet, attachments and document: [5]

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents, Box Assignments
Washington, DC 20231

File No. A-68287/DJB/RMS/DAV

1008925

03/16/2000 JSHABAZZ 00000081 09420092

01 FC:581

40.00 OP

ASSIGNMENT

WHEREAS, the undersigned, **Ying Luo**, 32 Chester Circle, Los Altos, CA 94022, **PeiWen Yu**, 19790 Auburn Drive, Cupertino, California 95014, and **Betty Huang**, 771 Douglas Drive, San Leandro, CA 94577 (hereinafter termed "Inventors"), have invented certain new and useful improvements in CELL CYCLE PROTEINS ASSOCIATED WITH PCNA, COMPOSITIONS AND METHODS OF USE and have executed concurrently herewith an application for a United States patent disclosing and identifying the invention; and having Serial No. 09/420,092 and filing date of October 18, 1999 and

WHEREAS, Rigel Pharmaceuticals, Inc. (hereinafter termed "Assignee"), a corporation of the State of California, having a place of business at 240 East Grand Avenue, S. San Francisco, CA 94080, is desirous of acquiring the entire right, title and interest in and to said application and the invention disclosed therein, and in and to all embodiments of the invention, heretofore conceived, made or discovered by said Inventors (all collectively hereinafter termed "said invention"), and in and to any and all patents, inventors' certificates and other forms of protection (hereinafter termed "patents") thereon granted in the United States and foreign countries.

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Inventors to have been received in full from said Assignee:

1. Said Inventors do hereby sell, assign, transfer and convey unto said Assignee, the entire right, title and interest (a) in and to said application and said invention; (b) in and to all rights to apply for foreign patents on said invention pursuant to the International Convention for the Protection of Industrial Property or otherwise; (c) in and to any and all applications filed and any and all patents granted on said invention in the United States or any foreign country, including each and every application filed and each and every patent granted on any

application which is a division, substitution, or continuation of any of said applications; and
(d) in and to each and every reissue or extensions of any of said patents.

2. Said Inventors hereby covenant and agree to cooperate with said Assignee to enable said Assignee to enjoy to the fullest extent the right title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee (a) for perfecting in said Assignee the right, title and interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and prosecuting substitute, divisional, continuing or additional applications covering said invention; (d) for filing and prosecuting applications for reissuance of any said patents; (e) for interference or other priority proceedings involving said invention; and (f) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by said Assignee.

3. The terms, covenants and conditions of this assignment shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Inventors, their heirs, legal representatives and assigns.

4. Said Inventors hereby warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF, the said Inventors have executed and delivered this instrument to said Assignee.

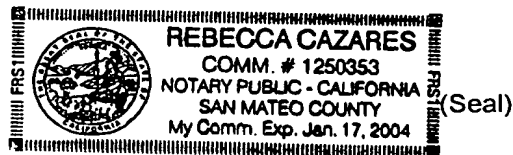
By Ying Luo
Ying Luo

County of San Mateo)
State of California) ss.
)

On this 3 day of February, in the year 2000, before me, REBECCA CAZARES, Notary Public of the State of CALIF, personally appeared Ying Luo, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/~~she~~ executed the same in his/~~her~~ authorized capacity(~~ies~~), and that by his/~~her~~ signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Rebecca Cazares



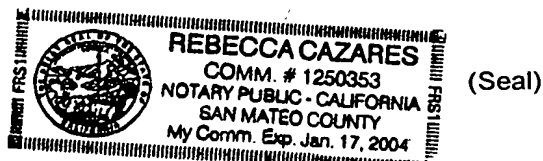
By PeiWen Yu
PeiWen Yu

County of San Mateo)
State of California) ss.
)

On this 1 day of February, in the year 2000, before me, REBECCA CAZARES, Notary Public of the State of CA, personally appeared PeiWen Yu, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/~~she~~ executed the same in his/~~her~~ authorized capacity(~~ies~~), and that by his/~~her~~ signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Rebecca Cazares



By Betty - Chao Bui Ho
Betty Huang

County of San Mateo ,)
State of California) ss.
)

On this 3 day of February, in the year 2000, before me REBECCA CAZARES, Notary Public of the State of CALIF, personally appeared Betty Huang, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that ~~he~~/she executed the same in ~~his~~/her authorized capacity(~~ies~~), and that by ~~his~~/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Rebecca Cazares



(Seal)